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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/628,004	07/25/2003	1645	4494	ABX-PHRI CON	11	78	16

1473  
 FISH & NEAVE  
 1251 AVENUE OF THE AMERICAS  
 50TH FLOOR  
 NEW YORK, NY 10020-1105



CONFIRMATION NO. 3975

## FILING RECEIPT



\*OC000000011347766\*

Date Mailed: 11/24/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Abraham Pinter, Brooklyn, NY;  
 Yuxian He, Forest Hills, NY;  
 Jose R. Corvalan, Foster City, CA;

**RECEIVED**

DEC - 4 2003

FISH & NEAVE - PATENT DEPT.  
 REFERRED TO                       
 NOTED BY                     

## Domestic Priority data as claimed by applicant

This application is a CON of PCT/US02/02171 01/25/2002  
 which claims benefit of 60/264,398 01/26/2001  
 and claims benefit of 60/266,106 02/02/2001  
 and claims benefit of 60/265,984 02/03/2001  
 and claims benefit of 60/270,466 02/21/2001

**REMINDER - PLEASE INITIAL  
 THIS DOCUMENT TO INDICATE  
 THAT YOU HAVE SEEN IT**

## Foreign Applications

If Required, Foreign Filing License Granted: 11/24/2003

Projected Publication Date: ~~Request for Non-Publication Acknowledged~~

Non-Publication Request: Yes

Early Publication Request: No

**Title**

Use of transgenic mice for the efficient isolation of novel human monoclonal antibodies with neutralizing activity against primary HIV-1 strains and novel HIV-1 neutralizing antibodies

**Preliminary Class**

435

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



ABX-PHRI CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Abraham Pinter et al.  
Application No. : 10/628,004 Confirmation No. : 3975  
Filed : July 25, 2003  
For : USE OF TRANSGENIC MICE FOR THE EFFICIENT  
ISOLATION OF NOVEL HUMAN MONOCLONAL  
ANTIBODIES WITH NEUTRALIZING ACTIVITY  
AGAINST PRIMARY HIV-1 STRAINS AND NOVEL  
HIV-1 NEUTRALIZING ANTIBODIES  
Group Art Unit : 1645  
Examiner : Not Yet Assigned

New York, New York 10020  
January 15, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Attention: Office of Initial Patent Examination's Filing Receipt Corrections

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

This is to request correction of the November 24, 2003 Filing Receipt issued in connection with the above-identified application.

The Filing Receipt indicates that a Request for Non-Publication was acknowledged. However, applicants did not file such a request. Applicants enclose a copy of

the transmittal letter filed with the application on July 25, 2003. The transmittal letter does not list a Request for Non-Publication.

Applicants request that the Filing Receipt be corrected as indicated in red ink on the enclosed copy and that a new Filing Receipt incorporating the requested correction be issued.

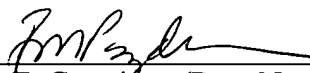
Applicants do not believe any fee is due in connection with the submission of this paper. However, should any fee be due, the Director is authorized to charge same, or credit any overpayment, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is submitted herewith.

Respectfully submitted,

I hereby certify that this  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450 on

January 15, 2004  
Lillian Garcia

Lillian Garcia  
Signature of Person Signing

  
\_\_\_\_\_  
Jane T. Gunnison (Reg. No. 38,479)  
Stanley D. Liang (Reg. No. 43,753)  
Attorneys for Applicants  
R. Minako Pazdera (Reg. No. 46,984)  
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ABX-PHRI CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**PATENT APPLICATION**

Applicants : Abraham Pinter et al.  
Application No. : 10/628,004 Confirmation No. 3975  
Filed : July 25, 2003  
For : USE OF TRANSGENIC MICE FOR THE  
EFFICIENT ISOLATION OF NOVEL HUMAN  
MONOCLONAL ANTIBODIES WITH  
NEUTRALIZING ACTIVITY AGAINST PRIMARY  
HIV-1 STRAINS AND NOVEL HIV-1  
NEUTRALIZING ANTIBODIES  
Group Art Unit : 1645  
Examiner : Not Yet Assigned

New York, New York 10020  
January 15, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Attention: Office of Initial Patent Examination's Filing Receipt Corrections

**TRANSMITTAL LETTER**

Sir:

Transmitted herewith: [X] a Request for Corrected Filing Receipt; [X] a marked-up copy of the Filing Receipt; [X] a copy of Transmittal Letter filed with the application on July 25, 2003; to be filed in the above-identified patent application.

Applicants do not believe any fee is due in connection with the submission of this paper. However, should any fee be due, the Director is authorized to charge same,

or credit any overpayment, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is submitted herewith.

Respectfully submitted,



Jane T. Gunnison (Reg. No. 38,479)  
Stanley D. Liang (Reg. No. 43,753)  
Attorneys for Applicants  
R. Minako Pazdera (Reg. No. 46,984)  
Agent for Applicants

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P.O. Box 1450  
Alexandria, VA 22313-1450 on

January 15, 2004

Lillian Garcia

  
Signature of Person Signing



Attorney Docket No. ABX-PHRI CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Abraham Pinter, Yuxian He and Jose R. Corvalan

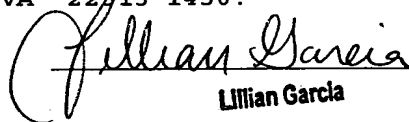
For : USE OF TRANSGENIC MICE FOR THE EFFICIENT ISOLATION OF NOVEL HUMAN MONOCLONAL ANTIBODIES WITH NEUTRALIZING ACTIVITY AGAINST PRIMARY HIV-1 STRAINS AND NOVEL HIV-1 NEUTRALIZING ANTIBODIES

EXPRESS MAIL CERTIFICATION

Express Mail mailing label number: EV133109365 US

Date of Deposit: July 25, 2003

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to Commissioner for Patents, Mail Stop PATENT APPLICATION, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Lillian Garcia

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

New York, New York  
July 25, 2003

TRANSMITTAL LETTER FOR RULE 53(b)  
CONTINUING PATENT APPLICATION

Sir:

This is a request for filing a: [X] continuation, [ ] divisional, application of pending prior International Application No. PCT/US02/02171, filed January 25, 2002.

Transmitted herewith for filing are the [X] specification; [X] claims; [X] abstract; [X] unexecuted declaration and power of attorney; [X] Application Data Sheet; [X] Preliminary Amendment; [X] Statements in Support

of Sequence listing Under 37 C.F.R. § 1.821; [X] Paper copy of Sequence Listing; [X] Computer Readable Form (CRF) of the Sequence Listing; and [X] postcard; for the above-identified patent application.

The enclosed declaration is:

- ☒ Unexecuted (original or copy).
- ☐ A copy from a prior application (37 C.F.R. § 1.63(d)).
- ☐ A signed statement is attached deleting inventors named in the prior application (37 C.F.R. §§ 1.63(d)(2) and 1.33(b)).
- ☐ The entire disclosure of the prior application, from which a copy of the declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- ☐ The prior application, Application No. \_\_\_\_\_, filed \_\_\_\_\_, is assigned of record To \_\_\_\_\_.

Also transmitted herewith are:

- ☒ 11 sheets of:
  - ☒ Formal drawings.
  - ☐ Informal drawings. Formal drawings will be filed during the pendency of this application.
- ☐ An assignment of the invention to: \_\_\_\_\_
- ☐ A check in the amount of \$40.00 to cover the recording fee.
- ☐ Please charge \$40.00 to Deposit Account No. 06-1075 in payment of the recording fee. A duplicate copy of this transmittal letter is transmitted herewith.
- ☐ A Certified copy of the priority document, \_\_\_\_\_ application, No. \_\_\_\_\_, filed \_\_\_\_\_.




The filing fee has been calculated as shown below:

FOR	NUMBER FILED		NUMBER EXTRA	RATE	FEE
Basic Fee					\$ 750.00
Total Claims	116	- 20 =	96	X \$ 18 =	\$1728.00
Independent Claims	27	- 3 =	24	X \$ 84 =	\$2016.00
A Multiple Dependent Claim				+ \$280 =	\$ 280.00
				TOTAL	\$4774.00

- [X] A check in the amount of \$3934.00 in payment of the filing fee is transmitted herewith.
- [X] The Director is hereby authorized to charge payment of any additional fees in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- [X] The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- [X] Please charge \$840.00 to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,

  
 Jane T. Gunnison  
 Registration No. 38,479  
 Stanley D. Liang  
 Registration No. 43,753  
 Attorneys for Applicants  
 R. Minako Pazdera  
 Registration No. 46,984  
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